

## Senate Study Bill 1002 - Introduced

SENATE RESOLUTION NO. \_\_\_\_\_

BY (PROPOSED COMMITTEE ON ETHICS RESOLUTION BY  
CHAIRPERSON KIBBIE)

1 A Resolution relating to the Senate Code of Ethics  
2 governing the conduct of members of the Senate in  
3 relation to their senatorial duties during the  
4 Eighty-fourth General Assembly.

5 BE IT RESOLVED BY THE SENATE, That the Senate Code  
6 of Ethics for the ~~Eighty-third~~ Eighty-fourth General  
7 Assembly shall be amended to read as follows:

8 SENATE CODE OF ETHICS

9 PREAMBLE. Every legislator owes a duty to uphold  
10 the integrity and honor of the general assembly, to  
11 encourage respect for the law and for the general  
12 assembly and the members thereof, and to observe the  
13 legislative code of ethics.

14 In doing so, members of the senate have a duty  
15 to conduct themselves so as to reflect credit on  
16 the general assembly, and to inspire the confidence,  
17 respect, and trust of the public, and to strive to  
18 avoid both unethical and illegal conduct and the  
19 appearance of unethical and illegal conduct.

20 Recognizing that service in the Iowa general  
21 assembly is a part-time endeavor and that members of  
22 the general assembly are honorable individuals who  
23 are active in the affairs of their localities and  
24 elsewhere and that it is necessary that they maintain  
25 a livelihood and source of income apart from their  
26 legislative compensation, the following rules are  
27 adopted pursuant to section 68B.31, to assist the

1 members in the conduct of their legislative affairs.

2     1. ECONOMIC INTEREST OF SENATOR. Taking into  
3 account that legislative service is part-time, a  
4 senator shall not accept economic or investment  
5 opportunity, under circumstances where the senator  
6 knows, or should know, that there is a reasonable  
7 possibility that the opportunity is being afforded the  
8 senator with intent to influence the senator's conduct  
9 in the performance of official duties.

10    2. DIVESTITURE. Where a senator learns that  
11 an economic or investment opportunity previously  
12 accepted was offered with the intent of influencing  
13 the senator's conduct in the performance of official  
14 duties, the senator shall take steps to divest that  
15 senator of that investment or economic opportunity, and  
16 shall report the facts of the situation to the senate  
17 ethics committee.

18    3. CHARGES FOR SERVICES. A senator shall not  
19 charge to or accept from a person, corporation,  
20 partnership, or association known to have a legislative  
21 interest a price, fee, compensation, or other  
22 consideration for the sale or lease of any property or  
23 the furnishing of services which is in excess of that  
24 which the senator would charge another.

25    4. USE OF CONFIDENTIAL INFORMATION. A senator in  
26 order to further the senator's own economic or other  
27 interests, or those of any other person, shall not  
28 disclose or use confidential information acquired in  
29 the course of official duties.

30    5. HONORARIA. A senator shall not accept an

1 honorarium from a restricted donor for a speech,  
2 writing for publication, or other similar activity,  
3 except as otherwise provided in section 68B.23.

4     6. EMPLOYMENT. A senator shall not accept  
5 employment, either directly or indirectly, from a  
6 political action committee. A senator may accept  
7 employment from a political party, but shall disclose  
8 the employment relationship in writing to the secretary  
9 of the senate within ten days after the beginning  
10 of each legislative session. If a senator accepts  
11 employment from a political party during a legislative  
12 session, the senator shall disclose the employment  
13 relationship within ten days after acceptance of the  
14 employment.

15     For the purpose of this rule, a political action  
16 committee means a committee, but not a candidate's  
17 committee, which accepts contributions, makes  
18 expenditures, or incurs indebtedness in the aggregate  
19 of more than seven hundred fifty dollars in any one  
20 calendar year to expressly advocate the nomination,  
21 election, or defeat of a candidate for public office  
22 or to expressly advocate the passage or defeat of  
23 a ballot issue or influencing legislative action,  
24 or an association, lodge, society, cooperative,  
25 union, fraternity, sorority, educational institution,  
26 civic organization, labor organization, religious  
27 organization, or professional organization which makes  
28 contributions in the aggregate of more than seven  
29 hundred fifty dollars in any one calendar year to  
30 expressly advocate the nomination, election, or defeat

1 of a candidate for public office or ballot issue or  
2 influencing legislative action.

3 7. ECONOMIC INTERESTS OF LOBBYIST. With the  
4 exception of exercising unfettered discretion in  
5 supporting or refusing to support proposed legislation,  
6 a senator shall not take action intended to affect the  
7 economic interests of a lobbyist or citizen supporting  
8 or opposing proposed legislation.

9 8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A  
10 senator may appear before a governmental agency or  
11 board in any representation case, except that the  
12 senator shall not act as a lobbyist. Whenever a  
13 senator appears before a governmental agency or board,  
14 the senator shall carefully avoid all conduct which  
15 might in any way lead members of the general public  
16 to conclude that the senator is using the senator's  
17 official position to further the senator's professional  
18 success or personal financial interest.

19 9. CONFLICTS OF INTERESTS. In order to permit the  
20 general assembly to function effectively, a senator  
21 will sometimes be required to vote on bills and  
22 participate in committee work which will affect the  
23 senator's employment and other monetary interests. In  
24 making a decision relative to the senator's activity on  
25 given bills or committee work which are subject to the  
26 code, the following factors shall be considered:

27 a. Whether a substantial threat to the senator's  
28 independence of judgment has been created by the  
29 conflict situation.

30 b. The effect of the senator's participation on

1 public confidence in the integrity of the legislature.

2 c. The need for the senator's particular  
3 contribution, such as special knowledge of the  
4 subject matter, to the effective functioning of the  
5 legislature.

6 A senator with a conflict of interest may  
7 participate in floor debate if prior to debate the  
8 senator indicates the conflict of interest.

9 10. GIFTS. Except as otherwise provided in section  
10 68B.22, a senator, or that person's immediate family  
11 member, shall not, directly or indirectly, accept or  
12 receive any gift or series of gifts from a restricted  
13 donor.

14 11. DISCLOSURE REQUIRED. Each senator shall file  
15 with the secretary of the senate within ten days after  
16 the adoption of the code of ethics by the senate, and  
17 within ten days after the convening of the second  
18 session of the general assembly, a statement under  
19 section 68B.35 on forms provided by the secretary of  
20 the senate setting forth the following information:

21 The nature of each business in which the senator  
22 is engaged and the nature of the business of each  
23 company in which the senator has a financial interest.  
24 A senator shall not be required to file a report or  
25 be assumed to have a financial interest if the annual  
26 income derived from the investment in stocks, bonds,  
27 bills, notes, mortgages, or other securities offered  
28 for sale through recognized financial brokers is less  
29 than one thousand dollars.

30 Disclosures required under this rule shall be as

1 of the date filed unless provided to the contrary,  
2 and shall be amended to include interests and changes  
3 encompassed by this rule that occur while the general  
4 assembly is in session. All filings under this rule  
5 shall be open to public inspection in the office of the  
6 secretary of the senate at all reasonable times.

7 The secretary of the senate shall inform the  
8 ethics committee of the statements which are filed  
9 and shall report to the ethics committee the names of  
10 any senators who appear not to have filed complete  
11 statements. The chairperson of the ethics committee  
12 shall request in writing that a senator who has failed  
13 to complete the report or appears to have filed an  
14 incomplete report do so within five days, and, upon  
15 the failure of the senator to comply, the ethics  
16 committee shall require the senator to appear before  
17 the committee.

18 12. STATUTORY VIOLATIONS. Members of the general  
19 assembly are urged to familiarize themselves with  
20 chapters 68B, 721, and 722.

21 13. CHARGE ACCOUNTS. Senators shall not charge any  
22 amount or item to any charge account to be paid for by  
23 any lobbyist or any client the lobbyist represents.

24 14. TRAVEL EXPENSES. A senator shall not charge  
25 to the state of Iowa amounts for travel and expenses  
26 unless the senator actually has incurred those mileage  
27 and expense costs. Senators shall not file the  
28 vouchers for weekly mileage reimbursement required  
29 by section 2.10, subsection 1, unless the travel  
30 was actually incurred at commensurate expense to the

1 senator.

2 15. COMPLAINTS. Complaints or charges against  
3 any senator or any lobbyist shall be in writing,  
4 made under oath, and filed with the secretary of the  
5 senate or the chairperson of the ethics committee. If  
6 filed with the secretary of the senate, the secretary  
7 shall immediately advise the chairperson of the ethics  
8 committee of the receipt of the complaint.

9 Complaint forms shall be available from the  
10 secretary of the senate, or the chairperson of the  
11 ethics committee, but a complaint shall not be rejected  
12 for failure to use an approved form if the complaint  
13 substantially complies with senate requirements.

14 A complainant may submit exhibits and affidavits  
15 attached to the complaint.

16 16. FILING OF COMPLAINTS.

17 a. Persons entitled. Complaints may be filed by  
18 any person believing that a senator ~~or~~, lobbyist, or  
19 client of a lobbyist has violated the senate ethics  
20 code, the senate rules governing lobbyists, or chapter  
21 68B of the Iowa Code. A violation of the criminal  
22 law may be considered to be a violation of this code  
23 of ethics if the violation constitutes a serious  
24 misdemeanor or greater, or a repetitive and flagrant  
25 violation of the law.

26 b. Committee complaint. The ethics committee  
27 may, upon its own motion, initiate a complaint,  
28 investigation, or disciplinary action.

29 c. Timeliness of filing. A complaint will be  
30 considered to be timely filed if it is filed within

1 three years of the occurrence of the alleged violation  
2 of the ethics code.

3 17. PERMANENT RECORD. The secretary of the senate  
4 shall maintain a permanent record of all complaints  
5 filed, evidence received by the committee, and any  
6 transcripts or other recordings made of committee  
7 proceedings, including a separate card file containing  
8 the date filed, name and address of the complainant,  
9 name and address of the respondent, a brief statement  
10 of the charges made, and ultimate disposition of  
11 the complaint. The secretary shall keep each such  
12 complaint confidential until public disclosure is made  
13 by the ethics committee.

14 18. PREHEARING PROCEDURE.

15 a. Defective complaint. Upon receipt of a  
16 complaint, the chairperson and ranking member of the  
17 ethics committee shall determine whether the complaint  
18 substantially complies with the requirements of this  
19 code of ethics and section 68B.31, subsection 6. If  
20 the complaint does not substantially comply with  
21 the requirements for formal sufficiency under the  
22 code of ethics, the complaint may be returned to the  
23 complainant with a statement that the complaint is not  
24 in compliance with the code and a copy of the code. If  
25 the complainant fails to amend the complaint to comply  
26 with the code within a reasonable time, the chair and  
27 ranking member may dismiss the complaint with prejudice  
28 for failure to prosecute.

29 b. Service of complaint on respondent. Upon  
30 receipt of any complaint substantially complying



1 with the requirements of this code of ethics, the  
2 chairperson of the ethics committee shall cause a copy  
3 of the complaint and any supporting information to  
4 be delivered promptly to the respondent, requesting  
5 a written response to be filed within ten days. The  
6 response may do any of the following:

7 (1) Admit or deny the allegation or allegations.

8 (2) Object that the allegation fails to allege a  
9 violation of chapter 68B or the code of ethics.

10 (3) Object to the jurisdiction of the committee.

11 (4) Request a more specific statement of the  
12 allegation or allegations.

13 c. Objection to member. In addition to the  
14 items which may be included in a response pursuant  
15 to paragraph "b", the response may also include an  
16 objection to the participation of any member of the  
17 committee in the consideration of the allegation or  
18 allegations on the grounds that the member cannot  
19 render an impartial and unbiased decision.

20 d. Extension of time. At the request of the  
21 respondent and upon a showing of good cause, the  
22 committee, or the chairperson and ranking member,  
23 may extend the time for response, not to exceed ten  
24 additional days.

25 e. Confidentiality. If a complaint is not  
26 otherwise made public, the members of the committee  
27 shall treat the complaint and all supporting  
28 information as confidential until the written response  
29 is received from the respondent.

30 f. Communications with ethics committee. After a

1 complaint has been filed or an investigation has been  
2 initiated, a party to the complaint or investigation  
3 shall not communicate, or cause another to communicate,  
4 as to the merits of the complaint or investigation with  
5 a member of the committee, except under the following  
6 circumstances:

7 (1) During the course of any meetings or other  
8 official proceedings of the committee regarding the  
9 complaint or investigation.

10 (2) In writing, if a copy of the writing is  
11 delivered to the adverse party or the designated  
12 representative for the adverse party.

13 (3) Orally, if adequate prior notice of the  
14 communication is given to the adverse party or the  
15 designated representative for the adverse party.

16 (4) As otherwise authorized by statute, the senate  
17 code of ethics, the senate rules governing lobbyists,  
18 or vote of the committee.

19 g. Scheduling hearing. Upon receipt of the  
20 response, the committee shall schedule a public meeting  
21 to review the complaint and available information, and  
22 shall do one of the following:

23 (1) Notify the complainant that no further  
24 action will be taken, unless further substantiating  
25 information is produced, ~~or~~.

26 (2) Dismiss the complaint for failure to meet the  
27 statutory and code of ethics requirements for valid  
28 complaints, ~~or~~.

29 (3) Take action on the complaint without requesting  
30 the appointment of an independent special counsel

1 if the committee determines the complaint is valid  
2 and determines no dispute exists between the parties  
3 regarding the material facts that establish a  
4 violation. The committee may do any of the following:

5     (a) Issue an admonishment to advise against the  
6 conduct that formed the basis for the complaint and to  
7 exercise care in the future.

8     (b) Issue an order to cease and desist the conduct  
9 that formed the basis for the complaint.

10    (c) Make a recommendation to the senate that  
11 the person subject to the complaint be censured or  
12 reprimanded.

13    ~~(3)~~ (4) Request that the chief justice of the  
14 supreme court appoint an independent special counsel  
15 to conduct an investigation of the complaint and  
16 supporting information, to make a determination of  
17 probable cause, and to report the findings to the  
18 committee, which shall be received within a reasonable  
19 time.

20    h. Public hearing. If independent special counsel  
21 is appointed, upon receipt of the report of independent  
22 special counsel's findings, the committee shall  
23 schedule a public meeting to review the report and  
24 shall do either of the following:

25     (1) Cause the complaint to be scheduled for a  
26 public hearing.

27     (2) Dismiss the complaint based upon a  
28 determination by independent special counsel and the  
29 committee that insufficient evidence exists to support  
30 a finding of probable cause.

1      19. HEARING PROCEDURE.

2      a. Notice of hearing. If the committee causes  
3 a complaint to be scheduled for a public hearing,  
4 notice of the hearing date and time shall be given to  
5 the complainant and respondent in writing, and of the  
6 respondent's right to appear in person, be represented  
7 by legal counsel, present statements and evidence, and  
8 examine and cross-examine witnesses. The committee  
9 shall not be bound by formal rules of evidence, but  
10 shall receive relevant evidence, subject to limitations  
11 on repetitiveness. Any evidence taken shall be under  
12 oath.

13     b. Subpoena power. The committee may require, by  
14 subpoena or otherwise, the attendance and testimony of  
15 witnesses and the production of such books, records,  
16 correspondence, memoranda, papers, documents, and any  
17 other things it deems necessary to the conduct of the  
18 inquiry.

19     c. Ex post facto. An investigation shall not be  
20 undertaken by the committee of a violation of a law,  
21 rule, or standard of conduct that is not in effect at  
22 the time of violation.

23     d. Disqualification of member. Members of the  
24 committee may disqualify themselves from participating  
25 in any investigation of the conduct of another person  
26 upon submission of a written statement that the member  
27 cannot render an impartial and unbiased decision  
28 in a case. A member may also be disqualified by a  
29 unanimous vote of the remaining eligible members of the  
30 committee.

1 A member of the committee is ineligible to  
2 participate in committee meetings, as a member of the  
3 committee, in any proceeding relating to the member's  
4 own official conduct.

5 If a member of the committee is disqualified or  
6 ineligible to act, the majority or minority leader who  
7 appointed the member shall appoint a replacement member  
8 to serve as a member of the committee during the period  
9 of disqualification or ineligibility.

10 e. Hearing. At the hearing, the chairperson shall  
11 open the hearing by stating the charges, the purpose of  
12 the hearing, and its scope. The burden of proof rests  
13 upon the complainant to establish the facts as alleged,  
14 by clear and convincing evidence. However, questioning  
15 of witnesses shall be conducted by the members of the  
16 committee, by independent special counsel, or by a  
17 senator. The chairperson shall also permit questioning  
18 by legal counsel representing the complainant or  
19 respondent.

20 The chairperson or other member of the committee  
21 presiding at a hearing shall rule upon procedural  
22 questions or any question of admissibility of evidence  
23 presented to the committee. Rulings may be reversed by  
24 a majority vote of the committee members present.

25 The committee may continue the hearing to a future  
26 date if necessary for appropriate reasons or purposes.

27 f. Committee action. Upon receipt of all relevant  
28 evidence and arguments, the committee shall consider  
29 the same and recommend to the senate any of the  
30 following:

1       (1) That the complaint be dismissed~~, or~~.

2       (2) That the senator or lobbyist be censured or  
3 reprimanded, and recommend the appropriate form of  
4 censure or reprimand~~, or~~.

5       (3) Any other appropriate sanction, including  
6 suspension or expulsion from membership in the senate,  
7 or suspension of lobbying privileges.

8       g. Disposition resolution. By appropriate  
9 resolution, the senate may amend, adopt, or reject  
10 the report of the ethics committee, including the  
11 committee's recommendations regarding disciplinary  
12 action.

13       20. COMMITTEE AUTHORIZED TO MEET. The senate  
14 ethics committee is authorized to meet at the  
15 discretion of the chairperson to conduct hearings and  
16 other business that properly may come before it. If  
17 the committee submits a report seeking senate action  
18 against a senator or lobbyist after the second regular  
19 session of a general assembly has adjourned sine die,  
20 the report shall be submitted to and considered by  
21 the subsequent general assembly. However, the report  
22 may be submitted to and considered during any special  
23 session which may take place after the second regular  
24 session of a general assembly has adjourned sine die,  
25 but before the convening of the next general assembly.

26       21. ADVISORY OPINIONS.

27       a. Requests for formal opinions. A request for a  
28 formal advisory opinion may be filed by any person who  
29 is subject to the authority of the ethics committee.  
30 The ethics committee may also issue a formal advisory

1 opinion on its own motion, without having previously  
2 received a formal request for an opinion, on any issue  
3 that is within the jurisdiction of the committee.

4 Requests shall be filed with either the secretary of  
5 the senate or the chairperson of the ethics committee.

6     b. Form and contents of requests. A request for  
7 a formal advisory opinion shall be in writing and  
8 may pertain to any subject matter that is related to  
9 the application of the senate code of ethics, the  
10 senate rules governing lobbyists, or chapter 68B of  
11 the Code to any person who is subject to the authority  
12 of the ethics committee. Requests shall contain one  
13 or more specific questions and shall relate either to  
14 future conduct or be stated in the hypothetical. A  
15 request for an advisory opinion shall not specifically  
16 name any individual or contain any other specific  
17 identifying information, unless the request relates  
18 to the requester's own conduct. However, any request  
19 may contain information which identifies the kind of  
20 individual who may be affected by the subject matter  
21 of the request. Examples of this latter kind of  
22 identifying information may include references to  
23 conduct of a category of individuals, such as but not  
24 limited to conduct of legislators, legislative staff,  
25 or lobbyists, or clients of lobbyists.

26     c. Confidentiality of formal requests and opinions.  
27 Requests for formal opinions are not confidential and  
28 any deliberations of the committee regarding a request  
29 for a formal opinion shall be public. Opinions issued  
30 in response to requests for formal opinions are not

1 confidential, shall be in writing, and shall be placed  
2 on file in the office of the secretary of the senate.  
3 Persons requesting formal opinions shall personally  
4 receive a copy of the written formal opinion that is  
5 issued in response to the request.

6 22. CALCULATION OF TIME — DAYS. For purposes of  
7 these rules, unless the context otherwise requires,  
8 the word "day" or "days" shall mean a calendar day  
9 except that if the day is the last day of a specific  
10 time period and falls upon a Saturday, Sunday, or legal  
11 holiday, the time prescribed shall be extended so as to  
12 include the whole of the next day in which the offices  
13 of the senate and the general assembly are open for  
14 official business.

15 23. COMPLAINT FILING FORM. The following form  
16 shall be used to file a complaint under these rules:

17 THE SENATE  
18 Ethics Complaint Form  
19 Re: \_\_\_\_\_ (Senator/Lobbyist),  
20 of \_\_\_\_\_, Iowa.  
21 I, \_\_\_\_\_ (Complainant), residing  
22 at \_\_\_\_\_, in the City of \_\_\_\_\_,  
23 State of \_\_\_\_\_, hereby complain that  
24 \_\_\_\_\_ (Senator/Lobbyist), whose  
25 address is \_\_\_\_\_,  
26 has violated the Senate Code of Ethics or Senate Rules  
27 Governing Lobbyists in that:

28 (Explain the basis for the complaint here. Use  
29 additional pages, if necessary.)

30 Under penalty of perjury, I certify that the above



S.R. \_\_\_\_\_

1 complaint is true and correct as I verily believe.

2

3

\_\_\_\_\_  
Signature of Complainant

4 SUBSCRIBED AND AFFIRMED to before me this \_\_\_\_\_

5 day of \_\_\_\_\_, \_\_\_\_\_.  
\_\_\_\_\_

6

7

Notary Public in and for the

8

State of \_\_\_\_\_

9 24. COMPLAINT NOTICE FORM. The following form  
10 shall be used for notice of a complaint under these  
11 rules:

12

STATE OF IOWA

13

THE SENATE

14 COMMITTEE ON ETHICS )

15 IOWA STATE SENATE )

16 )

17 On The Complaint Of ) NOTICE OF COMPLAINT

18 )

19 \_\_\_\_\_ )

20 )

21 And Involving )

22 )

23 \_\_\_\_\_ )

24 )

25 TO \_\_\_\_\_,

26 Senator or Lobbyist named above:

27 You are hereby notified that there is now on file  
28 with the Secretary of the Senate, State Capitol, Des  
29 Moines, Iowa, a complaint which alleges that you have  
30 committed a violation of the Senate's Code of Ethics or

S.R. \_\_\_\_\_

1 Senate Rules Governing Lobbyists.

2 A copy of the complaint and the Senate rules for  
3 processing the same are attached hereto and made a part  
4 of this notice.

5 You are further notified and requested to file your  
6 written answer to the complaint within ten days of the  
7 date upon which the notice was caused to be delivered  
8 to you, (date) \_\_\_\_\_, \_\_\_\_\_.

9 Your answer is to be filed with the Secretary of the  
10 Senate, State Capitol, Des Moines, Iowa.

11 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

12

13 \_\_\_\_\_  
14 Chair, Senate Ethics Committee,  
or Secretary of the Senate

15 25. HEARING NOTICE FORM. The following form shall  
16 be used for notice of a hearing under these rules:

17 STATE OF IOWA

18 THE SENATE

19 COMMITTEE ON ETHICS )

20 IOWA STATE SENATE )

21 )

22 On The Complaint Of ) NOTICE OF HEARING

23 )

24 \_\_\_\_\_ )

25 )

26 And Involving )

27 )

28 \_\_\_\_\_ )

29 )

30 TO \_\_\_\_\_,

S.R. \_\_\_\_\_

1 Senator or Lobbyist named above:

2 You are hereby notified that there is now on file  
3 with the Secretary of the Senate, State Capitol, Des  
4 Moines, Iowa, a complaint which alleges that you have  
5 committed a violation of the Senate's Code of Ethics or  
6 Senate Rules Governing Lobbyists.

7 A copy of the complaint and the Senate rules for  
8 processing the same are attached hereto and made a part  
9 of this notice.

10 You are further notified that, after preliminary  
11 review, the committee has caused a public hearing to be  
12 scheduled on (date) \_\_\_\_\_, \_\_\_\_\_, at  
13 (hour) \_\_\_\_\_ (a.m.) (p.m.), in Room \_\_\_\_\_, State  
14 Capitol, Des Moines, Iowa.

15 At the hearing, you will have the right to appear  
16 in person, be represented by legal counsel at your own  
17 expense, present statements and evidence, and examine  
18 and cross-examine witnesses. The committee shall  
19 not be bound by formal rules of evidence, but shall  
20 receive relevant evidence, subject to limitations on  
21 repetitiveness. Any evidence taken shall be under  
22 oath.

23 The committee may continue the hearing to a future  
24 date if necessary for appropriate reasons or purposes.

25 You are further notified that the committee will  
26 receive such evidence and take such action as warranted  
27 by the evidence.

28 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
29 \_\_\_\_\_

30 \_\_\_\_\_  
Chair, Senate Ethics Committee,

S.R. \_\_\_\_\_

1 or Secretary of the Senate

2 26. PERSONAL FINANCIAL DISCLOSURE FORM. The  
3 following form shall be used for disclosure of economic  
4 interests under these rules and section 68B.35:

5 STATEMENT OF ECONOMIC INTERESTS

6 Name: \_\_\_\_\_  
7 (Last) (First) (Middle Initial)

8 Address: \_\_\_\_\_  
9 (Street Address, Apt.#/P.O. Box)

10 \_\_\_\_\_  
11 (City) (State) (Zip)

12 Phone: (Home) \_\_\_\_/\_\_\_\_-\_\_\_\_ (Business) \_\_\_\_/\_\_\_\_-\_\_\_\_

13 \*\*\*\*\*

14 a. Please list each business, occupation, or  
15 profession in which you are engaged. In listing  
16 the business, occupation, or profession, it is  
17 not necessary that your employer or the name of  
18 the business be listed, although all businesses,  
19 occupations, or professions must be listed, regardless  
20 of the amount of income derived or time spent  
21 participating in the activity. (Examples of types  
22 of businesses, occupations, or professions that may  
23 be listed: teacher, lawyer, legislator, real estate  
24 agent, insurance adjuster, salesperson....)

25 (1) \_\_\_\_\_

26 (2) \_\_\_\_\_

27 (3) \_\_\_\_\_

28 (4) \_\_\_\_\_

29 (5) \_\_\_\_\_

30 b. Please list the nature of each of the

1 businesses, occupations, or professions which you  
2 listed in paragraph "a", above, unless the nature of  
3 the business, occupation, or profession is already  
4 apparent from the information indicated above. The  
5 descriptions in this paragraph should correspond by  
6 number to the numbers for each of the businesses,  
7 occupations, or professions listed in paragraph "a".  
8 (Examples: If you indicated, for example, that you  
9 were a salesperson in subparagraph (1) of paragraph  
10 "a", you should list in subparagraph (1) of this  
11 paragraph the types of goods or services sold in this  
12 item. If you indicated that you were a teacher in  
13 subparagraph (2) of paragraph "a", you should indicate  
14 in subparagraph (2) of this paragraph the type of  
15 school or institution in which you provide instruction  
16 or whether the instruction is provided on a private  
17 basis. If you indicated that you were a lawyer in  
18 subparagraph (3) of paragraph "a", you should indicate  
19 your areas of practice and whether you are in private,  
20 corporate, or government practice in subparagraph (3)  
21 of this paragraph. If you indicated in subparagraph  
22 (4) of paragraph "a" that you were a consultant, in  
23 subparagraph (4) of this paragraph you should indicate  
24 the kind of services provided and types of clients  
25 served.)

- 26 (1) \_\_\_\_\_  
27 (2) \_\_\_\_\_  
28 (3) \_\_\_\_\_  
29 (4) \_\_\_\_\_  
30 (5) \_\_\_\_\_

1     c. Please list each source, by general description,  
2 from which you receive, or which generates, more than  
3 one thousand dollars in gross annual income in the  
4 categories listed below. For purposes of this item,  
5 a source produces gross annual income if the revenue  
6 produced by the source is subject to federal or state  
7 income taxes. In completing this item, it is not  
8 necessary to list the name of the company, business,  
9 financial institution, corporation, partnership, or  
10 other entity which constitutes the source of the income  
11 and the amount or value of the holding should not be  
12 listed.

13     (1) Securities (Here for example, you need not  
14 state that you own X number of shares of any specific  
15 company by brand or corporate name, or that the stock  
16 is of a certain value, but may instead state that you  
17 possess stock in a company and indicate the nature of  
18 the company's business.):

19 \_\_\_\_\_  
20 \_\_\_\_\_  
21 \_\_\_\_\_  
22 \_\_\_\_\_  
23 \_\_\_\_\_

24     (2) Instruments of Financial Institutions (You  
25 need not indicate, for example, in which institutions  
26 you hold certificates of deposit that produce annual  
27 income over the one thousand dollar threshold, but  
28 simply listing the nature of the institution will  
29 suffice, e.g., bank, credit union, or savings and loan  
30 association.):

S.R. \_\_\_\_\_

1 \_\_\_\_\_  
2 \_\_\_\_\_  
3 \_\_\_\_\_  
4 \_\_\_\_\_  
5 \_\_\_\_\_

6 (3) Trusts (The name of the particular trust need  
7 not be listed. However, if the income is received  
8 from a charitable trust/foundation, such as the Pugh  
9 Charitable Trust, in the form of a grant, the fact that  
10 the trust is a charitable trust should be noted here.):

11 \_\_\_\_\_  
12 \_\_\_\_\_  
13 \_\_\_\_\_  
14 \_\_\_\_\_  
15 \_\_\_\_\_

16 (4) Real Estate (When listing real estate, it is  
17 not necessary to list the location of the property, but  
18 the general nature of the real estate interest should  
19 be indicated, e.g., residential leasehold interest or  
20 farm leasehold interest.):

21 \_\_\_\_\_  
22 \_\_\_\_\_  
23 \_\_\_\_\_  
24 \_\_\_\_\_  
25 \_\_\_\_\_

26 (5) Retirement Systems (When listing retirement  
27 benefits, it is not necessary to list the name of  
28 the particular pension system or company, but rather  
29 the type of benefit should be listed, e.g., health  
30 benefits, life insurance benefits, private pension, or

S.R. \_\_\_\_\_

1 government pension.):

2 \_\_\_\_\_  
3 \_\_\_\_\_  
4 \_\_\_\_\_  
5 \_\_\_\_\_  
6 \_\_\_\_\_

7 (6) Other Income Categories Specified in State or  
8 Federal Income Tax Regulations (List description of  
9 other sources of income producing over one thousand  
10 dollars in annual income not previously reported above,  
11 but which must be reported for income tax purposes.):

12 \_\_\_\_\_  
13 \_\_\_\_\_  
14 \_\_\_\_\_  
15 \_\_\_\_\_  
16 \_\_\_\_\_  
17 \_\_\_\_\_  
18 \_\_\_\_\_

19 (Signature of filer)

\_\_\_\_\_  
(Date)